



*"People
helping people
help
themselves"*

Mitchell E. Daniels, Jr., Governor
State of Indiana

DIVISION OF DISABILITY & REHABILITATIVE SERVICES
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To: Consumers, Providers of Medicaid Waiver Services, and Stakeholders who Support Individuals with Disabilities

From: Peter A. Bisbecos, DDRS Director
Becky Selig, BQIS Director

Re: **BQIS Post-Transition Monitoring Process**

Date: February 11, 2009

The Division of Disability & Rehabilitative Services' (DDRS) Bureau of Quality Improvement Services (BQIS) will soon begin a pilot to assess the tools and processes related to the Post-Transition Monitoring Process. Our goal is to improve the current process and ensure that proper supports are in place to ensure the health and safety of consumers before, during, and after a transition.

The tools and procedures involved in the new Post-Transition Monitoring Process were developed by BQIS, in conjunction with the Bureau of Developmental Disabilities Services (BDDS). We have attached a document that illustrates a step-by-step overview of the transition process. In addition, information on the accompanying pages will assist you in becoming familiar with the tools and processes as well as who this will impact and what BQIS will be monitoring.

If you have questions or require further information relating to the Post-Transition Monitoring Process or any BQIS initiative, you may contact us through the following resources:

- Phone: 260-423-2571 (Fort Wayne) or 1-800-545-7763 (Toll free Indiana)
- E-Mail: Valerie.Caldwell@fssa.in.gov
- Website: www.ddrs.IN.gov



Bureau of Quality Improvement Services

Post-Transition Monitoring Process and Pilot

Which transitions will be monitored under this process?

- Individuals who transfer from a state operated facility to a Supported Living home
- Individuals who transfer from a nursing facility to a Supported Living home
- Individuals who transfer from a large private facility to a Supported Living home
- Individuals who transfer to a 24 hour waiver residential setting with a new service provider
- Individuals in a 24 hour waiver residential setting who transfer across BDDS Districts with the same service provider

What is the basic process for conducting a post-transition monitor?

There will be three levels of monitoring, they are:

1. *First level post-transition monitor:*
 - Occurs within seven (7) business days of the individual's move
 - Reviews planning documents from the individual's pre-transition that are required for a safe transition
 - Focused review of the following risk domains:
 - Environmental Safety
 - Health Care Monitoring
 - Behavioral Supports
 - Abuse, Neglect, Mistreatment and Exploitation
 - When risks are identified, the Residential Habilitation Services (RHS) provider will address before next visit
 - Surveyor writes report, which is reviewed by BQIS Survey Coordinator (SC), then submitted to the (RHS) provider, case manager (CM), BDDS Service Coordinator (SC), BDDS District Manager (DM), BDDS Field Service Director and guardian/health care representative within four (4) business days
2. *Second level post-transition monitor:*
 - Occurs within thirty (30) days of the RHS provider's receipt of the first level monitor report
 - Verifies that any issues or risks identified in the first level monitor have been addressed
 - Full review which consists of the four (4) risk domains listed above and the additional risk domains:
 - Rights are protected and promoted
 - Meaningful day supports and services
 - Supports for community integration

- Surveyor writes report, which is reviewed by BDDS/SC, and is then submitted to the RHS provider, BDDS/SC, BDDS/DM, BDDS Field Service Director and guardian/health care representative within four (4) business days
 - If the person's needs are adequately supported or addressed, then the transition will be closed
 - If risks have been identified and are deemed to be inadequately supported or addressed at this level, then the RHS provider will be required to submit a Corrective Action Plan (CAP) within five (5) business days of receipt of the monitoring report. In this case, a third level post-transition monitor will be conducted to validate implementation of the CAP.
 - CAP is submitted to the surveyor, CM, BDDS/SC, BDDS/DM, BDDS Field Service Director and guardian/health care representative.
3. *Third level post-transition monitor:*
- Occurs between 90-120 days from the initial move date
 - Follow-up to the second level monitor to determine if all steps in the CAP have been implemented
 - When risks have been determined to be inadequately supported or addressed at this level, notification of failure will be made to the BQIS Director and the BDDS Director of Client Services. Surveyor writes report, which is reviewed by BDDS/SC, and then submitted to the RHS provider, CM, BDDS/SC, BDDS/DM, BDDS Field Service Director and guardian/health care representative within four (4) business days

What does the monitoring process and tools assess?

- Reviews the bridge between the individual's pre-transition planning and their post-transition and to the degree that supports are in place to meet their needs.
- Ensures that the transition is effective in promoting the health, welfare and safety of the individual.
- Reviews the individual's existing supports and transition plan and assists the team in identifying any unmet risks.
- Specific risk domains that are monitored include:
 - Environmental Safety
 - Health Care Monitoring
 - Behavioral Supports
 - Protection from Abuse, Neglect, Mistreatment and Exploitation
 - Rights Protection and Promotion
 - Meaningful Day Supports and Services
 - Community Integration
- Information is gathered through focused conversations, spending time with the consumer, direct support professional(s), and natural supports such as family. The information is then documented and reviewed.

What quality measures are built into the process?

- Transition Monitor reports are reviewed by BDDS/SC prior to being released.
- CAPs are reviewed by surveyors and BDDS/SC before being accepted.
- CAPs that are not accepted are sent back to providers with an explanation and providers are then required to re-submit plans
- BQIS Director and BDDS Director of Client Services are notified when:
 - CAPs are unacceptable after re-submission
 - CAP is not received from provider after reminder
 - Risks have not been adequately addressed after third level review

How will the pilot be conducted?

- The pilot will occur for approximately four or five transitions over a two/three month period (to cover the Post-Transition Monitoring Process from beginning to end)
- BQIS surveyor will notify the RHS provider, and explain expectations at each level of the process
- Both seven (7) day tool and comprehensive tool will be included in the pilot
- BQIS surveyor will assist providers in meeting expectations at each level of the process
- BQIS surveyor will assist providers to develop a CAP if one is needed.
- During the process of a transition in which the new process and tools are used, the providers will be expected to engage in current post-transition activities to ensure the safety of individuals
- Through participation in the new process, providers will assist BQIS and BDDS in gathering information needed to roll out the final version of the post-transition process and tools for the rest of the provider community
- Draft versions of the tools are posted online at: <http://www.in.gov/fssa/ddrs/2635.htm>

What will happen after the pilot is complete?

- Information gathered during the pilot will be used to make final modifications to the tools and process.
- After approval, a Webinar training will be scheduled for providers
- BQIS will set a date for implementing the official transition monitoring process and releasing the final version of tools and process.

Reference #: BQ20090211